

# **APPLICATION**

**INSTRUCTIONS and INFORMATION**

**CHARTER-PARTY CARRIER OF PASSENGERS**

**AUTONOMOUS VEHICLE TESTING PILOT PROGRAMS**

## **CALIFORNIA PUBLIC UTILITIES COMMISSION**

**Consumer Protection Enforcement Division**

**TRANSPORTATION LICENSE SECTION  
STATE OF CALIFORNIA PUBLIC UTILITIES COMMISSION**



**BASIC INFORMATION FOR AUTONOMOUS VEHICLE  
TESTING PILOT PROGRAM APPLICANTS**

Pursuant to Decision 18-05-043, CPUC has authorized two pilot programs for the testing of autonomous vehicles (AVs) in passenger carrier service. Participation in each AV pilot program requires entities to obtain separate transportation charter-party carrier (TCP) authorities from CPUC and to comply with the added requirements of each pilot program.

The purpose of this document is to provide guidance on how to apply for a TCP authority to operate AVs, how to participate in each AV pilot program, and how to keep your authority from CPUC in good standing. Please read all of this information before filling out an application and before contacting CPUC License Section with questions. Thank you!

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## Abbreviations

**AV** Autonomous Vehicle  
**CPUC** California Public Utilities Commission  
**DMV** California Department of Motor Vehicles  
**TCP** Transportation Charter Party. This can refer to a charter-party carrier, a charter-party permit or certificate, or a charter-party carrier number—the number assigned to a TCP carrier by the License Section.

## BEFORE YOU APPLY

### Do you wish to transport members of the public using an autonomous vehicle?

If you wish to transport members of the public (i.e., individuals who are not employees, contractors, or designees of the AV manufacturer) in an AV on public roads in California, it is necessary to possess the appropriate AV Testing Permit from DMV; to obtain TCP authority from CPUC; and to comply with the CPUC’s added requirements contained in Decision 18-05-043 authorizing AV passenger service on a pilot basis.

### Do you possess the appropriate DMV AV Manufacturer’s Testing Permit(s)?

Pursuant to DMV’s AV testing regulations (California Code of Regulations, Title 13, Article 3.7), an AV manufacturer may not conduct testing of an AV on public roads in the State without first obtaining from DMV an Autonomous Vehicle Testing “*Manufacturer’s Testing Permit*” for testing with a driver in the vehicle or a “*Manufacturer’s Testing Permit – Driverless Vehicles*” for testing without a driver in the vehicle.

As such, if you wish to participate in CPUC’s pilot programs for the provision of “Drivered AV Passenger Service” or “Driverless AV Passenger Service” on public roads in California, you must possess the appropriate corresponding AV Manufacturer’s Testing Permit(s) from DMV for testing with a driver or without a driver in the vehicle and maintain the DMV permit(s) in good standing.

### Have you performed at least 30 days of AV testing under your DMV AV Manufacturer’s Testing Permit(s)?

Pursuant to CPUC Decision 18-05-043, an entity that wishes to participate in either AV pilot program must submit an attestation along with its TCP permit application that an AV that is representative of the AV fleet and of the technology that the entity plans to use in offering Drivered AV Passenger Service or Driverless AV Passenger Service has been in actual permitted operations on roads in California for a minimum of 30 days following granting of the relevant DMV AV Manufacturer’s Testing Permit. The attestation must include:

- state date of actual operations on California roads
- geographic location of the operations in California

- times of day and number of hours per day in operation during the 30-day period
- type of environment in which the vehicle has operated such as urban, suburban, or rural
- a statement and map of the Operational Design Domain as stated on the entity's DMV AV testing permit

### **Will I need separate authorities from DMV and CPUC for each AV pilot program?**

Yes. In addition to the requirement to possess the appropriate AV Manufacturer's Testing Permit from DMV for testing with a driver or without a driver in the vehicle, for its two AV Passenger Service pilot programs, CPUC is similarly requiring participants to obtain a separate TCP permit for each pilot program.

Each vehicle proposed for testing in CPUC's AV pilot programs must also be authorized for testing by the appropriate DMV AV Manufacturer's Testing Permit. As such, in order to participate in both the Drivered AV Passenger Service and Driverless AV Passenger Service pilot programs, an entity would have to be issued at least two TCP permits – a separate permit for each AV pilot program.

**In order to participate in the Drivered AV Passenger Service pilot program, all AVs authorized under DMV's AV permit for testing with a driver must be listed under the same TCP permit.**

**Likewise, in order to participate in the Driverless AV Passenger Service pilot program, all AVs authorized under DMV's AV permit for testing without a driver must be listed on another TCP permit.**

### **Will I need separate authorities for each AV that I wish to operate?**

No. As a charter-party carrier, you may operate any number of vehicles under one certificate or permit. As part of the application process, charter-party carriers must provide the License Section with a list of all vehicles to be operated, including their license plate numbers, VIN numbers, and seating capacities. Thereafter, they must report to the License Section within 10 days of adding or deleting any vehicle from their fleet. The form for this purpose (PL 664-AV) is included in the application packet and may be downloaded from our web site.

### **Will I need a commercial vehicle registration for each AV that I wish to operate?**

Yes. Before the License Section will process your request to add a vehicle to your certificate or permit, you must provide us with a copy of the vehicle's registration which must show that the vehicle is registered "commercial." In addition, the registration must show the registered owner or lessee to be the following and as listed on the Statement of Information (SOI) if your entity is a Corporation or LLC:

<b>For this type of entity</b>	<b>the registered owner or lessee must be</b>
Individual	The Individual
General Partnership	One or more of the partners
Corporation	The Corporation or Corporate Officer
LLC	The LLC or Manager Member or Member
LP	The LP or a general partner

## **CERTIFICATION OF COMPLIANCE WITH DMV REGULATIONS**

Pursuant to CPUC Decision 18-05-043, an entity that wishes to participate in either AV Passenger Service pilot program must certify that it is in compliance with all DMV regulations.

# INFORMATION ON AV TEST DRIVERS AND “REMOTE OPERATORS”

## Status of AV Test Drivers

Drivers of charter-party vehicles, which include test drivers of AVs that would operate under the Drivered AV Passenger Service pilot program, must be licensed as required by the California Vehicle Code and must comply with the driver-related provisions of Title 13 of the California Code of Regulations.

As is the case for all drivers of charter-party vehicles, AV test drivers must also be the TCP permit or certificate (authority) holder or under the complete supervision, direction and control of the operating carrier, and must be (A) an employee of the authority holder, or (B) an employee of a sub-carrier, or (C) an independent owner-driver who holds charter-party carrier authority and is operating as a sub-carrier.

## Status of Driverless AV “Remote Operators”

For AVs capable of operating without a driver in the vehicle, DMV’s AV testing regulations impose requirements on individuals referred to as “remote operators” who are defined as: *“a natural person who: possesses the proper class of license for the type of test vehicle being operated; is not seated in the driver’s seat of the vehicle; engages and monitors the autonomous vehicle; is able to communicate with occupants in the vehicle through a communication link. A remote operator may also have the ability to perform the dynamic driving task for the vehicle or cause the vehicle to achieve a minimal risk condition.”* (CCR Title 13 Section 227.02(n))

Pursuant to CPUC Decision 18-05-043, for purposes of the Driverless AV Passenger Service pilot program, any “remote operator” capable of performing the “dynamic driving task” – which refers to any of the real-time functions required to operate a vehicle in on-road traffic including but not limited to vehicle signaling, steering, turning, and acceleration – must comply with all TCP permit terms and conditions that apply to drivers of charter-party vehicles. Furthermore, if remote operator services that include performing the dynamic driving task are provided by an entity other than the entity that holds the DMV AV Manufacturer’s Testing Permit – Driverless Vehicles, then the entity providing remote operator services must hold a TCP permit as well.

In effect, both AV test drivers in the Drivered AV Passenger Service pilot program and remote operators capable of performing the dynamic driving task in the Driverless AV Passenger Service pilot program must comply with all terms and conditions of a TCP permit that apply to drivers.

## Proof of Enrollment in DMV Employer Pull Notice Program

All applicants for charter-party carrier authority must enroll in the DMV Employer Pull Notice (EPN) Program. The EPN provides employers and regulatory agencies with a means of promoting driver safety through the ongoing review of driver records. Through EPN, employers of drivers are notified of any of the following on the driving record of any employee driver: convictions, failures to appear, accidents, driver license suspensions or revocations, and any other actions taken against the driving privilege.

DMV AV testing regulations separately require entities, as a condition of obtaining an AV Manufacturer’s Testing Permit, to enroll in the EPN Program. Since possession of a DMV AV Manufacturer’s Testing Permit is also a condition of participating in either CPUC AV Passenger Service pilot program, as part of your application, you will be required to provide the License

Section with a copy of your EPN contract with the DMV (which will include your Requester Code assigned by the DMV).

Furthermore, as CPUC Decision 18-05-043 requires all remote operators capable of performing the dynamic driving task to comply with all TCP permit requirements that apply to drivers, entities wishing to participate in the Driverless AV Passenger Service pilot program must also submit to DMV for inclusion in the EPN Program the requisite information on remote operators capable of performing the dynamic driving task.

## **Proof of Compliance with DMV AV Test Driver and Remote Operator Training Requirements**

DMV AV testing regulations impose training requirements on test drivers of AVs. DMV AV testing regulations require each AV test driver to obtain an “Autonomous Vehicle Testing Program Test Vehicle Operator Permit” from DMV and to complete the AV manufacturer’s test driver training program (CCR Title 13 Section 227.34). A course outline and description of the AV test driver training program must also be provided to DMV (CCR Title 13 Section 227.36). Similarly, DMV regulations require submission of a course outline and description of a “remote operator training program” and certify that each remote operator has completed training sufficient to enable him or her to safely execute the duties of a remote operator.

Pursuant to CPUC Decision 18-05-043, entities that wish to participate in the Driverless AV Passenger Service pilot program must show proof of compliance with DMV regulations on AV driver training and certification to CPUC. In order to do so, CPUC is requiring entities to provide a copy of the DMV AV Test Vehicle Operator Permit issued to each AV test driver listed on the entity’s TCP permit and to provide a copy of the course outline and training program description required by DMV. For the Driverless AV Passenger Service pilot program, CPUC is similarly requesting submission of the course outline and description of a “remote operator training program” provided to DMV.

## **Controlled Substance and Alcohol Testing Certification Requirements**

All applicants for charter-party carrier authority must provide for a drug testing program which includes educational materials for their drivers, training for supervisors and specified testing of drivers for use of controlled substances and alcohol, in accordance with General Order 157 Series (TCP). In selecting a drug and alcohol consultant to establish a drug and alcohol testing program for your company, you must select one that has been accepted and approved by the License Section. You will find a list of approved drug and alcohol consultants on our website, and this will also be included in your application packet.

Furthermore, as CPUC Decision 18-05-043 requires all remote operators capable of performing the dynamic driving task to comply with all TCP permit requirements that apply to drivers, entities wishing to participate in the Driverless AV Passenger Service pilot program must also comply with CPUC’s controlled substance and alcohol testing certification requirements for those remote operators.

## **INFORMATION ABOUT FEES AND FARE COLLECTION**

### **TCP Application Filing Fees**

Participation in CPUC’s AV Passenger Service pilot programs requires authority from CPUC to operate as a charter-party carrier of passengers (TCP) providing for-hire passenger transportation services. The application filing fees for TCP authorities are shown in the table below. No application

will be accepted or processed without the correct filing fee. **FILING FEES ARE NOT REFUNDABLE**. Public Utilities Code § 407 allows refunds of fees paid by charter-party carriers only where the fee was collected in error.

#### **FILING FEES**

	<b>New/Refile*</b>	<b>Renewal</b>
Charter-party “A” certificate	\$1,500	\$100
All other charter-party authorities	\$1,000	\$100

\*The term “refile” refers to an application, where an earlier application from the same legal entity was denied for any reason or where the operating authority has expired before the renewal application was received. Refile fees are the same as New Application fees.

### **Public Utilities Commission Transportation Reimbursement Account (PUCTRA) Fees**

Charter-party carriers are required to file either annual or quarterly revenue reports (depending on revenues) and to pay a \$25 annual or \$10 quarterly administrative fee plus a percentage of their gross operating revenues. Once your authority is issued, you will receive the necessary forms and instructions by mail. Failure to file these reports by the deadlines shown on them will result in penalties and suspension and revocation of authorities.

### **Prohibition on Fare Collection in AV Passenger Service Pilot Programs**

DMV AV testing regulations prohibit the charging of fees to members of the public for a ride in a test AV (CCR Title 13 Section 227.26). Pursuant to CPUC Decision 18-05-043, charging monetary compensation for rides is similarly prohibited in the Drivered and Driverless AV Passenger Service pilot programs.

### **INFORMATION ABOUT CHARTER PARTY CARRIERS (TCP)**

#### **Types of Charter-Party Carrier Authority**

The type(s) of TCP authority that may be obtained for the AV Passenger Service pilot programs are the Charter-Party “Class A” certificate and/or the Charter-Party Permit “P” described below:

<b>“A” Certificate (PUC §§ 5371.1 and 5383)</b>	<b>“P” Permit (PUC § 5384(b))</b>
<ul style="list-style-type: none"><li>▪ Chartered service</li><li>▪ May operate vehicles of any seating capacity</li><li>▪ May operate from any point to any point within California</li><li>▪ May be transferred (fee: \$300)</li></ul>	<ul style="list-style-type: none"><li>▪ Chartered service</li><li>▪ May operate only vehicles seating fewer than 16 including the driver.</li><li>▪ May operate from any point to any point within California</li><li>▪ May not be transferred.</li></ul>

### **Statement and Map of Operational Design Domain**

Pursuant to CPUC Decision 18-05-043, entities that wish to participate in either AV pilot program must provide a statement and map of the Operational Design Domain as certified to DMV. The statement must describe the roadway type, speed range, environmental conditions, and any other domain constraints.

The map must indicate the geographical area within which AV testing has been confined (“geo-fenced”), and entities must provide to CPUC a link to their website where a map of the geo-fenced

area is provided. Entities must inform CPUC within one (1) business day of any update to the Operational Design Domain map that is approved by DMV.

### **Restriction on Trips to/from/within Airports in Driverless AV Pilot**

Pursuant to CPUC Decision 18-05-043, entities wishing to participate in the Driverless AV Passenger Service pilot program are prohibited from providing passenger service to, from, or within airports unless the airport involved has granted the entity express authority to do so.

Entities wishing to participate in the pilot program must submit a plan to CPUC indicating how they will prevent service to, from, or within airports.

### **Prohibition on Transport of Unaccompanied Minors in Driverless AV Pilot**

Pursuant to CPUC Decision 18-05-043, entities wishing to participate in the Driverless AV Passenger Service pilot program are required to ensure that the service is available only to be chartered by adults 18 years and older.

Entities wishing to participate in the pilot program must submit a plan to CPUC indicating how they will ensure that the service is available only to be chartered by adults 18 years and older.

### **Prohibition on “Fare-splitting” in Driverless AV Pilot**

Pursuant to CPUC Decision 18-05-043, entities wishing to participate in the Driverless AV Passenger Service pilot program are prohibited from allowing more than one chartering party to use the vehicle at any time (“fare-splitting”).

Entities wishing to participate in the pilot program must submit a plan to CPUC indicating how they will limit the use of the vehicle to one chartering party at any given time.

## **INFORMATION ABOUT INSURANCE**

All carriers must have public liability and property damage insurance on file with CPUC before we will issue operating authority to them. In general, the levels of insurance required are contained in CPUC General Order (GO) 115 Series for charter-party carriers.

However, pursuant to CPUC Decision 18-05-043, entities wishing to participate in the AV Passenger Service pilot programs are required to maintain insurance for the AVs offered for the pilot programs in compliance with DMV’s AV testing regulations. In order to obtain an AV Manufacturer’s Testing Permit, DMV AV testing regulations require manufacturers to possess either a \$5 million dollar insurance policy, a \$5 million surety bond, or a certificate of self-insurance to demonstrate evidence of the manufacturer’s ability to respond to a judgment for damages for personal injury, death, or property damage arising from the operations of AVs (CCR Title 13 Section 227.04).

In order to show proof that an entity wishing to participate maintains insurance in compliance with DMV’s regulations, CPUC is requiring the same proof of financial responsibility provided to DMV for purposes of AV Manufacturer’s Testing Permit to be provided to CPUC. For the AVs offered for the pilot programs, given that DMV has allowed its insurance requirements to be satisfied in multiple ways, paper filings are accepted.

## **APPLYING FOR TCP AUTHORITY**

After reading all of this information, if you’ve decided to apply for a TCP certificate or permit in order to participate in the AV Passenger Service pilot programs, you may obtain an Autonomous



Read all of the information in the packet carefully before you begin completing the forms. KEEP A COPY OF EVERYTHING YOU SEND US for your own records.

### Think about who or what will apply (and have CPUC authority)

Several types of legal entities may apply for authority. If you are applying for charter-party authority, on the first page of your application, you will check a box indicating whether you are applying as an Individual, a General Partnership, a Corporation, an LLC (limited liability company) or LP (Limited Partnership). All applicants will indicate the *name of the applicant*. That name will be your CARRIER NAME, the *legal entity* to which your permit or certificate will be issued. If you apply as a corporation, LLC or LP, the License Section will verify that the entity is in good standing with the California Secretary of State.

1. Keep in mind that whatever address and phone number you place on your application—including your home address and phone number—they are **public information**, posted on our web site, and available to any member of the public. *We will not accept a P.O. Box or mail drop* for a physical address. If you apply as an individual, your name will be part of that public information. If you apply as a general partnership, the names of all partners are public information. Of course, if you are an officer of a corporation, your name is also public information, though it may not be quite as visible as though you were to apply as an individual. Many carriers choose to have a separate business address and phone number.

### The difference between “Carrier Name” and “DBA”

Again, the name under which you apply (individual, partnership, corporation, etc.) will be your “carrier name”, the name (the legal entity) to which your permit or certificate will be issued. This is not to be confused with any *fictitious business name* or “*DBA*” (Doing Business As) you may choose to use.

Example 1: John Doe applied as an individual, doing business as “Acme Limousine Service”. In that case, “*John Doe*” is the carrier name and the permit or certificate holder, and not “Acme Limousine Service”.

Example 2: Mr. Doe forms a corporation, “Doe Transportation, Inc.” doing business as “Acme Limousine Service”. “Doe Transportation, Inc.” is the carrier name and the permit or certificate holder, and not “Acme Limousine Service”.

If you are a charter-party carrier, before you use any fictitious business name, you must inform the License Section in writing of your intent to use it (General Order 157-D, Section 3.06). If you show a DBA on your application, we will print that DBA on your permit or certificate, and will post it on our web site. Otherwise, it is not necessary to state your DBA on any document you send us, and may cause confusion, or worse.

### Financial Responsibility

Charter-party carrier applicants must complete Form TL-706-F3, a Projected Profit and Loss Statement. This 1-page form requires you to project (estimate) your revenue and expenses over a stated initial period of operations, which may be 90, 120, 180 days, or one year. Your revenue must be greater than expenses over this period.

### Your File Number

The License Section tracks the records of well over 11,000 carriers, not counting the thousands of revoked and expired carriers who sometimes apply to have their authorities re-

activated. The only way we can do that is with File Numbers. Within a few weeks after applying, you will receive a letter from the License Section. On that letter (and every letter you ever receive from us), you will see a File Number. For TCP and PSC carriers, this begins with “PSG” followed by some numbers, for example, “PSG0012345”. Please reference your file number whenever you call, write, or email the License Section. Ideally, it should be prominently displayed on every page of every document you send us. (You can ignore the leading “0’s”, so in the above example, all we need is “PSG12345”.) When your authority is issued, the numbers of your File Number will also be the numbers of your permit or certificate, for example, “PSC 12345” or “TCP 12345-B”. Whenever you contact the License Section, you may refer to that number by any of the prefixes (i.e., “TCP”)

### **Sign all forms**

It is your responsibility to ensure that your application and all attachments are signed. If you are a partnership, all partners must sign; if a corporation, an officer of the corporation; if an LLC, a managing member.

### **Once I apply for my authority or send my registration, may I start operating?**

No. Submitting an application and getting a file number does not give you authority to operate. Only “active” authority allows you to operate. You may operate when you receive a permit or certificate from the License Section, and not until then.

For charter-party applicants, typically, a technician will review your application within 1 - 3 weeks after we receive it; the technician will determine what information and documents are lacking or incomplete. You will receive a letter telling you anything and everything you need to do before your authority can be issued. Thirty days later, if those items have not been completed, you will receive a second letter telling you what remains to be done. Thirty days after that, you will receive a “Final Notice”, advising you that if the remaining items are not completed within 20 days, we may deny your application. We will wait at least those 20 days before denying your application, and will be somewhat more flexible if you communicate, and we can see that you are making a good faith effort. You will have plenty of opportunities to get everything done before we will deny your application. HOWEVER, there is a limit to how long we will keep an application pending before we deny it. Do not send us an application if you’re not absolutely sure you’ll be ready to start operating within 3 months. Once again, filing fees are not refundable, so if your application is denied, you must refile and pay the application fee again.

### **How long will it take to get my permit or certificate issued?**

That will depend largely upon how complete and accurate your application is when you submit it *and* how responsive you are to our requests for additional information or documents. Make sure you follow the instructions in the application and respond to letters from the License Section in a timely manner. Charter-party applicants who are attentive to these details can typically have their authority issued within about 3-6 weeks, sometimes less.

## **PARTICIPATING IN AV PASSENGER SERVICE PILOT PROGRAMS**

### **Passenger Notice and Consent**

Unlike taxi service, all transportation performed by TCPs must be arranged beforehand. TCP transportation is *chartered* by a party (person or group) called the “chartering party.” Usually, the chartering party is also taking the transportation, but the chartering party may also arrange the transportation on behalf of another person or group. In passenger service provided by a TCP, the driver must have a *completed waybill* in his or her possession at all times during the trip showing,

among other things, the name and address of the person requesting or arranging the transportation (the chartering party), the time and date when the charter was arranged, and whether it was arranged by telephone or written contract, the number of persons in the charter group, the name of at least one passenger, and the points of origin and destination.

Pursuant to CPUC Decision 18-05-043, before beginning service, entities wishing to participate in the AV Passenger Service pilot programs must file with CPUC a plan for how they will provide notice to passengers that they are being offered AV passenger service through a pilot program and demonstrate a means by which the passenger explicitly consents, by electronic or written confirmation, to receive AV passenger service. The plan must describe the notification and confirmation process. During the offer/consent exchange, entities must provide to the passenger a photo of the vehicle that will provide the service.

## **Quarterly Service Data Reporting**

Pursuant to CPUC Decision 18-05-043, each entity participating in the AV Passenger Service pilot programs must submit on a quarterly basis a verified report containing the following data, disaggregated and anonymized, to provide information regarding each AV operating in the pilot programs:

- Total quarterly vehicle miles traveled during passenger service by all vehicles in the entity's list of Autonomous Vehicle equipment, provided per-vehicle
- Total quarterly vehicle miles traveled during passenger service that are served by electric vehicles or other vehicles not using an internal combustion engine, provided per-vehicle
- Total quarterly vehicle miles traveled during passenger service, from the vehicle's starting location when it first accepted a trip request to the pickup point for each requested trip, expressed in miles and provided per-vehicle
- Amount of time each vehicle waits between ending one passenger trip and initiating the next passenger trip, expressed as both a daily average and a monthly total in hours or fraction of hours for each vehicle (idling or dwell time)
- Vehicle occupancy (total number of passengers) in each vehicle for each trip
- Total number of accessible rides requested per quarter that are fulfilled
- Total number of accessible rides requested per quarter that are unfulfilled because of a lack of accessible vehicles
- Total number of accessible rides requested per quarter that are declined by the driver

The disaggregated anonymized data must be provided in electronic Excel or other searchable and sortable spreadsheet format and be provided in tables with separately labeled columns that identify the data reported in each column. The reporting periods and associated submission dates of these reports are provided below:

<b>Reporting Period</b>	<b>Report Submission Date</b>
November 1 - January 31	March 1
February 1 - April 30	June 1
May 1 - July 31	September 1
August 1 - October 31	December 1

Each verified report must clearly indicate the period of time (by dates) covered in each report. The reporting period begins when the entity receives confirmation from the Consumer Protection and Enforcement Division that an AV has been successfully added to the carrier's passenger equipment list on file with the CPUC.

Each entity participating in the pilots shall respond thoroughly and promptly to requests from CPUC staff to verify and ensure the accuracy and completeness of all data reports. CPUC staff will post these reports on its website as soon as they are complete, and will note on its website any delayed report, including the cause of the delay.

## **Submittal of DMV-Required Reports**

Pursuant to CPUC Decision 18-05-043, all entities wishing to participate in the AV Passenger Service pilot programs must submit to CPUC all reports required to be submitted to DMV under its AV testing regulations, including collision reports to CPUC simultaneously with DMV and the annual AV “disengagement” reports.

In addition, entities wishing to participate in the Driverless AV Passenger Service pilot program must provide to CPUC their process in the event of a collision, law enforcement interaction plan, disclosure to the passenger regarding collection and use of personal information, and all other reports or plans required under DMV AV testing regulations.

## **Recording of Passenger-Remote Operator Communications**

In addition, entities wishing to participate in the Driverless AV Passenger Service pilot program must record all communications between passengers and remote operators while each driverless AV is providing passenger service and retain the recording for one year from the date of the communication. The recordings shall be provided to CPUC upon request. The claimed confidentiality of the recordings shall be governed by CPUC GO 66-D.

# **MAINTAINING, RENEWING, AND TRANSFERRING TCP AUTHORITY**

### **Keep your Authority Active**

Once you have your authority, you must keep it active in order to continue operating. Your responsibilities include:

- Generally paying prompt and careful attention to all mail you receive from the CPUC. Under normal circumstances, we will notify you of any impending suspension, and tell you what you must do to prevent it, in plenty of time for you to do so.
- Notify the CPUC of any change to your mailing address and any other contact information. The Change of Information form is located in our website.
- Address all correspondence to “CPUC License Section” as shown throughout this document. The CPUC has many divisions, branches, etc., so it is not obvious where your mail should go unless you specify. Include your File Number on all documents, including checks.
- Keep copies of all forms and correspondence with the License Section. We handle many thousands of documents every month, and occasionally a document is misplaced or misdirected. This will be far less inconvenient for you if you have backup copies.
- Work with your insurer(s) to keep your insurance active and on file with us at all times. (**NOTE:** Insurers are required to notify us in writing, no less than 30 days before a carrier’s policy is to be cancelled, which may mean only that the policy’s term is about to expire. When we receive such a notice, we send a “Notice of Impending Suspension” to the carrier stating that its authority will be

suspended on a specific date—in about 30 days—unless the *carrier* acts to have the policy continued, or to have a replacement policy filed with us. If you receive such a Notice from us, it will not help you to call us. You must contact your insurer to have the necessary certificate sent to us.)

- Pay your quarterly or annual fees on time (you will receive notification in the mail when these are due, and all necessary forms and instructions).
- Charter-party carriers must apply for renewal no less than 3 months prior to expiration, as required by CPUC regulation.

We will notify you by mail any time your authority is suspended, revoked, expired, or reinstated. If you have any doubts about your authority status, you may verify it on CPUC's web site, which is updated several times daily, or contact the License Section. If your authority is suspended, revoked, or expired you may not operate. Only "active" authority allows you to operate.

### **Obey All Laws**

Your authority may be suspended or revoked for violations of laws and regulations governing your business. You are responsible for knowing and following these requirements, including the following:

The Public Utilities Code. Sections pertaining specifically to charter-party carriers are §§ 5351 through 5420. Many of these sections contain references to other California codes, such as the Vehicle Code. Carriers are also responsible for obeying those laws as well.

CPUC General Orders. CPUC General Order (GO) 157 Series contains rules and regulations governing charter-party carriers. You are responsible for knowing and following all applicable regulations in these General Orders. General Orders are available on line at <http://www.cpuc.ca.gov/generalorders/>.

### **TCP Authority Expiration and Renewal**

All charter-party permits and certificates expire after 3 years. If the carrier completes and submits a renewal application with enough time for the License Section to process its application, the authority will be renewed for another 3 years, and there will be no lapse in authority. The expiration date of your authority will appear on the permit or certificate itself. We will send you a renewal application approximately 120 days prior to your expiration date. You are required (by CPUC General Order 157-D) to complete and return this to us no less than 3 months prior to expiration. The filing fee for renewal applications is \$100 for all types of permits and certificates.

Applying late for renewal can have severe consequences, starting with the fact that your authority may expire before the renewal process is completed, forcing you to cease operations until your authority is renewed. If the License Section receives your renewal application after your authority has already expired, *even if you mailed it before expiration*, your renewal application will not be accepted, and you must submit a "refile" application. The fee for a refile is the same as for a new application: \$1,000, or \$1,500 for an "A" certificate. **Filing too close to your expiration date can cost you an additional expense of \$900 or \$1,400 in addition to loss of revenue as a result of the expiration of your operating authority.**

**If you have thoroughly read the preceding material and still have other questions, you may contact the License Section for assistance.**

**Email:** [licensing@cpuc.ca.gov](mailto:licensing@cpuc.ca.gov)

**Mail:** CPUC License Section  
505 Van Ness Avenue  
San Francisco, CA 94102

**Your input telling us how we can make the information above more clear or useful to our customers in the future is welcome! Address input to: [licensing@cpuc.ca.gov](mailto:licensing@cpuc.ca.gov).**

**THANK YOU from the License Section!**